UNITED STATES DISTRICT COURT

FOR THE WESTERN DISTRICT OF WISCONSIN

UNITED STATES OF AMERICA,

Plaintiff,

vs. Case No. 06-CR-0189-S-01

DAVID FRANKLIN, Madison, Wisconsin January 31, 2007

Defendant. 1:15 p.m.

TRANSCRIPT OF PLEA HEARING HELD BEFORE THE HONORABLE JOHN C. SHABAZ

APPEARANCES:

For the Plaintiff: Office of the United States Attorney

BY: RITA RUMBELOW

Assistant United States Attorney

P.O. Box 1585

Madison, WI 53701-1585

For the Defendant: Delyea and Cornia, LLC

BY: ANTHONY C. DELYEA

520 University Avenue, Suite 260

Madison, WI 53703

Also Present: David Franklin, Defendant

Michael Bell, U.S. Probation Officer

Court Recorder: Emily Stenhoff

120 North Henry Street, Room 320

Madison, WI 53703

Transcription Service: S-B Transcription Service

5212 East Lacy Road Fitchburg, WI 53711

Proceedings recorded by electronic sound recording, transcript produced by certified transcription service.

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him.

1 (Call to Order of the Court) THE CLERK: Case No. 06-CR-189-S, United States of 2 3 America versus David Franklin, called for plea hearing. May we 4 have the appearances, please? 5 MS. RUMBELOW: Rita Rumbelow for the United States. 6 MR. DELYEA: Good afternoon, Your Honor. Mr. Franklin appears in person, and with his attorney, Anthony Delyea. 7 8 THE COURT: It's the Court's understanding that the 9 defendant agrees to plead guilty to the one-count indictment in this case pursuant to a proposed plea agreement. Mr. Delyea, 10 11 is that correct? 12 MR. DELYEA: It is, sir. 13 THE COURT: And, Mr. Franklin, do you plan to enter a 14 plea of guilty today to the one-count indictment as a result of 15 a proposed plea agreement? 16 DEFENDANT FRANKLIN: Yes. 17 THE COURT: Ms. Rumbelow, any comments relating to the proceeding which we're about to enter? 18 19 MS. RUMBELOW: No, Your Honor.

DAVID FRANKLIN, DEFENDANT, SWORN

THE COURT: Mr. Franklin, I want you to understand that you are now under oath and if you answer any of my

Mr. Franklin please rise so the oath may be administered to

THE COURT: At this time then, I would ask that

1 questions falsely, your answers can be later used against you 2 in another prosecution for perjury or making a false statement. Is that your understanding? 3 4 DEFENDANT FRANKLIN: 5 THE COURT: And what is your full name, sir? 6 DEFENDANT FRANKLIN: My full name is David Lee Franklin. 7 THE COURT: And how old are you, Mr. Franklin? 8 9 DEFENDANT FRANKLIN: I'm 49 years old. THE COURT: And what schooling have you had? What's 10 11 the top grade that you went to? 12 DEFENDANT FRANKLIN: Twelfth. 13 THE COURT: Did you graduate? 14 DEFENDANT FRANKLIN: Yes. 15 THE COURT: Have you been treated recently for any mental illness or addiction to narcotic drugs of any kind? 16 17 DEFENDANT FRANKLIN: Not in, not recently, but in the 18 past, yes. 19 THE COURT: All right. And what was that treatment? 20 DEFENDANT FRANKLIN: For using cocaine. 21 THE COURT: All right. And how long ago was that? 2.2 DEFENDANT FRANKLIN: That was about, maybe about six, 23 seven years ago I was on probation. 24 THE COURT: All right. Anything about that treatment 25 which would in any way affect your ability to render a fair and

1 impartial verdict in this case? DEFENDANT FRANKLIN: No, Your Honor. 2 3 THE COURT: Strike that. That's the wrong question. 4 I've been asking jurors now for so long that I can't get you 5 straight. All right. Do you understand these proceedings? 6 DEFENDANT FRANKLIN: Yes, I do. THE COURT: Are you currently under the influence of 7 8 any drug, medication, or alcoholic beverage of any kind? 9 DEFENDANT FRANKLIN: No. THE COURT: Have you received a copy of the 10 indictment --11 12 DEFENDANT FRANKLIN: Yes, I have. 13 THE COURT: -- pending against you--that is, that's 14 the written charges made against you in this case--and have you 15 fully discussed those charges, and the case in general, with Mr. Delyea as your attorney? 16 17 DEFENDANT FRANKLIN: Yes, I have. THE COURT: And are you fully satisfied with the 18 19 counsel, representation, and advice given to you in this case by 20 Mr. Delyea as your attorney? DEFENDANT FRANKLIN: Yes, I am. 21 2.2 THE COURT: Did you read and discuss the proposed plea agreement with your attorney before you signed it? 23 24 DEFENDANT FRANKLIN: Yes, I did.

THE COURT: And does the proposed plea agreement

1 represent the entire understanding that you have with the 2 government? 3 DEFENDANT FRANKLIN: Yes. 4 THE COURT: Do you understand the terms of the plea 5 agreement? 6 DEFENDANT FRANKLIN: Yes, I do. THE COURT: And this is a letter dated January 24, 7 8 2007, addressed to Mr. Delyea by the Assistant United States Attorney Ms. Rita M. Rumbelow, signed by you on January 26 of 2007. Is this then the proposed plea agreement that the Court 10 11 has been referring to, that letter? DEFENDANT FRANKLIN: Yes. 12 13 THE COURT: Does the plea agreement represent the 14 entire understanding that you have with the government? 15 DEFENDANT FRANKLIN: Yes, it does. 16 THE COURT: Do you understand the terms of the proposed plea agreement? 17 DEFENDANT FRANKLIN: Yes. 18 19 THE COURT: Has anyone made any other or different 20 promise or assurance to you of any kind in an effort to persuade 21 you to plead guilty in this case? DEFENDANT FRANKLIN: No, they haven't. 22 THE COURT: I want you to understand that the terms of 23 the proposed plea agreement are merely recommendations to the 24

Court, recommendations that the Court can reject without

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permitting you to withdraw your plea of guilty and could then impose a sentence that is more severe than that which you may be expecting. Do you understand and agree with that, sir? DEFENDANT FRANKLIN: Yes. THE COURT: If the Court chooses not to follow the terms of the plea agreement and rejects those which are binding, you will then be given the opportunity to withdraw your plea of quilty. And if you choose not to withdraw your plea, the Court may impose a more severe sentence without being bound by the plea agreement which it has previously rejected. Do you understand and agree with those statements? DEFENDANT FRANKLIN: Yes, I do. THE COURT: Has anyone made any promise or assurance to you of any kind in an effort to persuade you to plead guilty in this case, Mr. Franklin? DEFENDANT FRANKLIN: No, they haven't. THE COURT: Has anyone attempted in any way to force you to plead guilty in this case? DEFENDANT FRANKLIN: No, they haven't. THE COURT: Are you pleading guilty of your own free will because you are guilty? DEFENDANT FRANKLIN: Yes, I am. THE COURT: The offense to which you will be pleading guilty is a felony offense and, if your plea is accepted, you

will then be adjudged guilty of that offense, and such

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determination may deprive you of certain valuable civil rights, such as the right to own and/or possess a firearm, the right to vote, the right to hold public office, and the right to serve on a jury. Do you understand that by having been convicted of a felony you may be deprived of these and other valuable civil rights?

DEFENDANT FRANKLIN:

THE COURT: The Court then will address each paragraph of the proposed plea agreement. This is a letter of January 24 of 2007 addressed to Mr. Delyea. Is this, sir, the proposed plea agreement which you have signed and read?

DEFENDANT FRANKLIN: Yes.

THE COURT: You've agreed to plead guilty to the onecount indictment in this case. It charges a violation of 21 United States Code Section 841(a)(1), and carries a maximum penalty of 20 years in prison, maximum penalties of, well, it's a minimum, it carries a minimum penalty of 20 years in prison and maximum penalties of life in prison, a \$4 million fine, a minimum 10-year period of supervised release, a \$100 special assessment. In addition to these maximum penalties, any violation of a supervised release term could lead to an additional term of imprisonment pursuant to federal law.

You agree to pay the assessment of \$100 at or before sentencing. You also understand the Court will enter an order pursuant to federal law requiring the immediate payment of that

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assessment, and in an appropriate case a defendant could be held in contempt of court and receive an additional sentence for his or her failure to pay the special assessment as ordered by the Court.

Do you understand and agree with those provisions in paragraph numbered one of the proposed plea agreement?

DEFENDANT FRANKLIN:

THE COURT: Looking then at paragraph 2. acknowledged by pleading guilty that you're giving up the following rights: A, to plead not guilty and to persist in that plea; B, to a jury trial; C, to be represented by counsel and, if necessary, have the Court appoint counsel at trial and at every other stage of the trial proceedings; D, to confront and cross-examine adverse witnesses; E, to be protected from compelled self-incrimination; F, to testify and present evidence; and G, to compel the attendance of witnesses. Is that your understanding and your agreement with those provisions in paragraph numbered two of this proposed plea agreement, Mr. Franklin?

DEFENDANT FRANKLIN: Yes, it is.

THE COURT: Paragraph 3. You've agreed that the conduct in this case involved crack cocaine as that term is used in the Sentencing Guidelines Section 2D1.1. And you've also agreed not to contest the administrative forfeiture of the currency seized during this investigation. Is that your

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understanding and your agreement with those provisions in paragraph numbered three?

> DEFENDANT FRANKLIN: Yes.

THE COURT: At paragraph 4, you understand that there may be evidence in this case that could be subjected to DNA testing and, B, you could petition the district court under federal law for DNA testing of evidence after conviction in this case. By your signing of this proposed plea agreement, you have knowingly and voluntarily waived your right to postconviction DNA testing of all evidence in this case. Is that your understanding and your agreement of those provisions in paragraph numbered four?

DEFENDANT FRANKLIN: Yes, it is.

THE COURT: At paragraph 5, the United States has agreed that the quilty plea will completely resolve all possible federal criminal violations that have occurred in the Western District of Wisconsin provided that both of the following conditions are met: A, the criminal conduct relates to the conduct described in the indictment and, B, the criminal conduct was known to the United States as of the date of this proposed plea agreement. This agreement not to prosecute is limited to those types of cases for which the United States Attorney's Office for this, the Western District of Wisconsin, has exclusive decision-making authority.

You also understand the United States will make its full

file available to the Probation Office for its use in preparing the presentence report. Is that your understanding and your agreement of those terms in paragraph 5?

DEFENDANT FRANKLIN: Yes, it is.

THE COURT: Looking at paragraph 6. The United States agrees to recommend that the Court in computing the advisory sentencing guideline range, and in sentencing you, give you, the defendant, the maximum available reduction for acceptance of responsibility, which recommendation is based on facts currently known to the United States, and is contingent upon your acceptance of responsibility according to the guideline factors in 3E1.1.

And the United States is free to withdraw this recommendation should you have previously engaged in any conduct which is unknown to the United States and which is inconsistent with acceptance of responsibility, or should you engage in any conduct between the date of this plea agreement and the sentencing hearing which is inconsistent with acceptance of responsibility. Is that your understanding and your agreement of those provisions in paragraph numbered six of the proposed plea agreement, Mr. Franklin?

DEFENDANT FRANKLIN: Yes, it is.

THE COURT: Looking at paragraph 7, you've agreed to complete a financial statement, which has or will be provided to you, and to return it to the United States Attorney's Office

within one week from your receipt of -- one week from this guilty plea hearing. You've also agreed that the Probation Office may disclose to the United States the net worth and cash flow statements to be completed by you in connection with the preparation of the presentence report, together with all supporting documents.

Is that your understanding and agreement as it relates to those previous paragraphs 6 and 7?

DEFENDANT FRANKLIN: Yes, it is.

THE COURT: Paragraphs 8 and 9. Eight, in the event of an appeal by either party, the United States reserves the right to make arguments in support of or in opposition to the sentence imposed by the Court. And, 9, you understand that the sentencing discussions are not part of the plea agreement and you should not rely upon the possibility of a particular sentence based upon any sentencing discussions between defense counsel and the United States.

Is that your understanding and your agreement of those provisions in paragraphs 8 and 9?

DEFENDANT FRANKLIN: Yes, it is.

THE COURT: Looking at paragraph 10. Is it your understanding of this agreement, is it your understanding that this agreement conforms with what you've understood to be the case as well as with the government's position? And by your signing, you've acknowledged your understanding that the United

States has made no promises or guarantees regarding the sentence which will be imposed. You also acknowledge your understanding the Court is not required to accept any recommendations which may be made by the United States, and that the Court can impose any sentence up to and including the maximum penalties set out in paragraph numbered one of the proposed plea agreement.

Is that your understanding and your agreement with the provisions set forth in that paragraph No. 10, Mr. Franklin?

DEFENDANT FRANKLIN: Yes.

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THE COURT: Do you understand the possible consequences of your plea, Mr. Franklin?

DEFENDANT FRANKLIN: Yes, I do.

THE COURT: Under the Sentencing Reform Act of 1984, the United States Sentencing Commission has issued guidelines for judges to follow in determining the sentence in a criminal case. Those guidelines were previously mandatory. The Supreme Court, however, has determined them to be advisory only. And I would ask at this time if you and your attorney have talked about how these sentencing guidelines might apply to your case?

DEFENDANT FRANKLIN: Yes, we have.

THE COURT: I want you to understand that the Court will not be able to determine the guideline sentence for your case until after the presentence report has been completed and both you and the government have had the opportunity to challenge the reported facts and the application of the

guidelines recommended by the probation officer, and that the sentence imposed may be different from any estimate your attorney may have given you. Do you understand and agree with that, sir?

DEFENDANT FRANKLIN: Yes, sir.

THE COURT: After your guideline range has been determined, the Court has the authority in some circumstances to depart from the guidelines and impose a sentence that is either more severe or less severe than the sentence called for by the guidelines. Is that your understanding as well?

DEFENDANT FRANKLIN: Yes, it is.

THE COURT: Parole has been abolished. If you are sentenced to prison, you will not be released on parole. Do you understand that, sir?

DEFENDANT FRANKLIN: Yes, I do.

THE COURT: Do you also understand that under certain circumstances, you or the government may have the right to appeal any sentence imposed by this Court?

DEFENDANT FRANKLIN: Yes, I do.

THE COURT: By entering into this plea agreement and entering a plea of guilty, you will have waived or given up your right to a trial. Do you understand that, sir?

DEFENDANT FRANKLIN: Yes.

THE COURT: I want you to understand that you have the right to plead not guilty to any offense charged against you

and to persist in that plea. You would then have the right to a trial by jury, at which trial you would be presumed to be innocent, and the government would have to prove your guilt beyond a reasonable doubt. You would have the right to the assistance of counsel for your defense, the right to see and hear witnesses, all witnesses, and have them available to see and hear. Is that your understanding?

DEFENDANT FRANKLIN: Yes, it is.

THE COURT: Now then, to just cover it one more time. You have, in addition to those rights previously given you, the right to plead not guilty to any offense charged against you, persist in that plea, to have the right to a trial by jury. I've told you previously, at which trial you would be presumed to be innocent. The government would be required to prove your guilt beyond a reasonable doubt, and you would have the right to the assistance of counsel for your defense, the right to see and hear all the witnesses, and have them cross-examined in your defense, the right on your own part to decline to testify unless you voluntarily elected to do so in your defense, and the right to the issuance of subpoenas or compulsory process to compel the attendance of witnesses to testify in your defense.

Do you understand that you have all of those rights, sir?

DEFENDANT FRANKLIN: Yes, I do.

THE COURT: Do you further understand that should you decide not to testify or put on any evidence, these facts cannot

be used against you?

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DEFENDANT FRANKLIN: Yes.

THE COURT: And once again, by entering into this proposed plea agreement and entering a plea of guilty, you will then have waived or given up those rights that the Court has discussed with you. Do you understand that, sir?

DEFENDANT FRANKLIN: Yes.

THE COURT: I want you to further understand that by entering a plea of guilty, if that plea is accepted by this Court today, there will be no trial. You will then have waived or given up your right to a trial, as well as those other rights associated with a trial as I have just described to you. Do you understand and agree with that, sir?

DEFENDANT FRANKLIN: Yes.

THE COURT: At this time the Court will call on

Ms. Rumbelow, the Assistant United States Attorney, and she is
going to explain the essential elements of the offense--that is,
what the government would be required to prove at trial--and
inform you of the charge to which you will be pleading guilty.

And also, you will have the opportunity to explain and assent
and agree to the facts constituting the crime charged.

Ms. Rumbelow.

MS. RUMBELOW: Your Honor, Mr. Franklin is entering a guilty plea to one count of Title 21 United States Code Section 841(a)(1), possession with intent to distribute cocaine base.

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The government has to prove two essential elements. First, that Mr. Franklin knowingly or intentionally possessed cocaine base, also known as crack cocaine; second, that Mr. Franklin possessed the cocaine base with the intent to deliver it to another person.

Had this case gone to trial, officers with the Dane County Narcotics and Gang Task Force would have testified that on September 21, 2006, they executed a federal search warrant at Mr. Franklin's residence at 838 North Thompson Drive, Apartment No. 4 in Madison. Officers would have testified that during the search of that residence, they located documents addressed to Mr. Franklin at that address, \$7,819 in United States currency, baggies with corners missing from them, a digital scale, as well as 67 grams of suspect cocaine base. Oh, the government does charge in the indictment, Your Honor, that he possessed more than 50 grams with intent to distribute.

The government also would have introduced the testimony of Amanda Hanson, a drug analyst with the Wisconsin State Crime Lab, and she would have testified that the substance recovered from Franklin's apartment did test positive for the presence of cocaine base. And the government would have asked the Court to take judicial notice that Madison is in the Western District of Wisconsin.

THE COURT: The Court notes that 838 Thompson Drive,

Apartment No. 4 in the City of Madison, as is the City of

1 Madison, in the Western District of Wisconsin. Mr. Franklin, did you hear the United States Attorney 2 3 advise you of what this case is all about? 4 DEFENDANT FRANKLIN: Yes. 5 THE COURT: And do you agree with what it said? 6 DEFENDANT FRANKLIN: Yes. THE COURT: Do you disagree with anything that she 7 said? 8 9 DEFENDANT FRANKLIN: No. THE COURT: Looking then at Count 1, on or about 10 September 21, 2006, in Madison, Wisconsin, in the Western 11 12 District of Wisconsin, did you, David L. Franklin, knowingly and 13 intentionally possess with intent to distribute 50 grams or more 14 of a substance or mixture containing cocaine base, crack 15 cocaine, a Schedule II controlled substance? 16 DEFENDANT FRANKLIN: Yes. 17 THE COURT: Now, did you know what you had? You knew what you possessed? 18 19 DEFENDANT FRANKLIN: No, I didn't. 20 THE COURT: You didn't know what you possessed? 21 DEFENDANT FRANKLIN: Wait, no, no. Yes, I did. I did. 22 It just came out wrong. Yes, I did. Yeah. 23 THE COURT: Did you know what you were going to do 24 with it?

DEFENDANT FRANKLIN: Yes.

THE COURT: What?

DEFENDANT FRANKLIN: Well, me and a friend was going to distribute.

THE COURT: All right. So then you possessed it with the intent to distribute it, do you understand?

DEFENDANT FRANKLIN: Yes.

THE COURT: And do you understand that this related to 50 grams or more of a mixture or substance containing cocaine base, that is crack cocaine, a Schedule II controlled substance? Is that your understanding?

DEFENDANT FRANKLIN: Yes.

THE COURT: And have you heard now that the analyst has determined that it was 67 grams of cocaine base or crack cocaine? Is that your understanding?

DEFENDANT FRANKLIN: Yes.

THE COURT: I want you, once again, to understand that if you do plead guilty to this one-count indictment, a presentence report will be prepared. The Court will then consider whether or not to accept or reject the proposed plea agreement. If it decides to reject the proposed plea agreement, you will then have the opportunity to withdraw your plea and change it to not guilty. Is that your understanding and agreement?

DEFENDANT FRANKLIN: Yes.

25 || THE COURT: And how do you now plead to the charge in

the one-count indictment pending against you in this case?

DEFENDANT FRANKLIN: Guilty.

THE COURT: It's the finding of the Court in the case of United States of America against David L. Franklin, No. 06-CR-189-S, that the defendant is fully competent and capable of entering an informed plea, that he is aware of the nature of the charges and the consequences of the plea, that the plea of guilty is a knowing and voluntary plea supported by an independent basis in fact containing each of the essential elements of the offense. The plea is therefore accepted, and the defendant is now adjudged guilty of that offense set forth in the one-count indictment pending against him in Case No. 06-CR-189-S, United States against David L. Franklin.

We now come to the sentencing. A written presentence report will be prepared by the Probation Office to assist the Court in sentencing. Mr. Franklin, you will be asked to provide information for that report and your attorney may be present, if you wish your attorney to be present, during those interviews. You will be given the opportunity to read the report. You will be required to discuss it with Mr. Delyea, and you may then file any objections to the presentence report.

That presentence report will be made available to you on or about March $14^{\rm th}$, and you have two weeks thereafter, until March $28^{\rm th}$, to serve and file any objections to that presentence report. The Court is then scheduling sentencing for April $11^{\rm th}$

1 at 1:15 p.m. Mr. Delyea, is that schedule agreeable to yours? MR. DELYEA: It is, Your Honor. 2 THE COURT: Ms. Rumbelow? 3 MS. RUMBELOW: It is, Your Honor. 4 5 THE COURT: The Court will continue to have you 6 detained pending sentencing. And the Court will allow you and your attorney to address it at the time of sentencing as to 7 that sentence to be imposed. The government will also have 8 9 that opportunity. Before we adjourn, is there anything else that you believe 10 11 should be addressed, Mr. Delyea? MR. DELYEA: Just one small scheduling issue, Your 12 The Court ordered that he return the financial 13 Honor. 14 statement within one week of receipt. 15 THE COURT: Right. MR. DELYEA: I mailed that to him. He hasn't even 16 received it yet. I would ask if the Court could perhaps give 17 us two weeks to complete that. 18 19 THE COURT: Two weeks to complete it? MR. DELYEA: Yes, sir. I have a trial scheduled next 20 21 week, and I'm just going to have a hard time to have an 22 opportunity --23 THE COURT: And then when would it be due? MR. DELYEA: Today's the 31st. We could have it in on, 24

easily in on February 12th.

1	THE COURT: All right. The Court will then require
2	that that be returned not later than February 12^{th} of 2007.
3	Anything further from the defendant?
4	MR. DELYEA: Nothing. Thank you, Your Honor.
5	THE COURT: What further matter should the Court
6	address the defendant with, Ms. Rumbelow?
7	MS. RUMBELOW: Nothing, Your Honor.
8	THE COURT: Anything further?
9	MS. RUMBELOW: Nope.
10	THE COURT: All right. If that's the case then, we'll
11	stand adjourned.
12	(Proceedings concluded at 1:48 p.m.)
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20	I certify that the foregoing is a correct transcript from the electronic sound recording of the proceedings in the above-
21	entitled matter.
22	
23	Susan Barsness Date Certified Transcriptionist
24	
I	